

JFW



PTO/SB/21 (08-03)

Approved for use through 08/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	10/714,493
	Filing Date	November 14, 2003
	First Named Inventor	Michael D. Hitchcock
	Art Unit	2127
	Examiner Name	N/A
Total Number of Pages in This Submission	Attorney Docket Number	C071

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
<div style="border: 1px solid black; padding: 5px; min-height: 100px;">         Remarks       </div>		
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	Michael O. Scheinberg	
Signature		
Date	2/9/05	

CERTIFICATE OF TRANSMISSION/MAILING		
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.		
Typed or printed name	Margarita Marquez-Escalona	
Signature		Date: Feb. 9, 05

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Attorney Docket No. C071

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.: 10/714,493 ART UNIT: 2127  
APPLICANT(S): 11/14/2003 EXAMINER: N/A  
FILING DATE: Michael D. Hitchcock et al.  
TITLE: Universal Forms Engine

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Pursuant to the guidelines for Information Disclosure Statements, 37 C.F.R. §§ 1.97-1.98, attached hereto is Form PTO SB08A with references listed for consideration by the Office. Copies of cited US patents are not provided in accordance with the waiver published in the August 5, 2003 Official Gazette.

In accordance with 37 C.F.R. §§ 1.97(g)-(h), the filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made or an admission

---

**CERTIFICATE OF MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450


On: February 9, 2005  
By: Margarita M. Escalona  
Name: Margarita Márquez-Escalona

that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This Information Disclosure Statement is being filed before the mailing of a first Office action on the merits.

Respectfully submitted,

Date: 2/9/05

By:   
Michael O. Scheinberg  
Patent Reg. 36,919  
P.O. Box 164140  
Austin, Texas 78716-4140  
Telephone: (512) 328-9510  
Facsimile: (512) 306-1963



PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/714,493
Filing Date	11/14/2003
First Named Inventor	Michael D. Hitchcock
Art Unit	2127
Examiner Name	N/A
Attorney Docket Number	C071

Sheet 1 of 3

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	S	US- 5,410,646	04/25/1995	Tondevoid et al.	
	U	US- 5,490,243	02/06/1996	Millman et al.	
	C	US- 5,495,565	02/27/1996	Millard et al.	
	D	US- 5,666,502	09/09/1997	Capps	
	E	US- 5,704,029	12/30/1997	Wright, Jr.	
	F	US- 5,745,681	04/28/1998	Levine et al.	
	G	US- 5,758,126	05/26/1998	Daniels et al.	
	H	US- 5,794,259	08/11/1998	Kikinis	
	I	US- 5,845,300	12/01/1998	Comer et al.	
	J	US- 5,890,175	03/30/1999	Wong et al.	
	K	US- 5,897,622	04/27/1999	Blinn et al.	
	L	US- 5,963,952	10/05/1999	Smith	
	M	US- 5,987,480	11/16/1999	Donohue et al.	
	N	US- 5,999,939	12/07/1999	De Hilster et al.	
	O	US- 6,028,938	02/22/2000	Malkin et al.	
	P	US- 6,035,276	03/07/2000	Newman et al.	
	Q	US- 6,058,373	05/02/2000	Blinn et al.	
	R	US- 6,101,482	08/08/2000	DiAngelo	
	S	US- 6,199,079	03/06/2001	Gupta et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND

TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**Complete if Known**

*(Use as many sheets as necessary)*

Sheet	2	of	3
-------	---	----	---

Application Number	10/714,493
Filing Date	11/14/2003
First Named Inventor	Michael D. Hitchcock
Art Unit	2127
Examiner Name	N/A
Attorney Docket Number	C071

[illegible][illegible]Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>		<b>Complete if Known</b>			
		Application Number	10/714,493		
		Filing Date	11/14/2003		
		First Named Inventor	Michael D. Hitchcock		
		Art Unit	2127		
		Examiner Name	N/A		
Sheet	3	of	3	Attorney Docket Number	C071

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	V	MARTIN R. FRANK and PEDRO SZEKELY, "Adaptive Forms: An Interaction Paradigm for Entering Structured Data," University of Southern California, IUI, 1998, pp. 153-160.	
	W	HOSSEIN SAJEDIAN and KA-WING WONG, "An Operational Model for Intelligent Forms in Office Automation," University of Nebraska and Eastern Kentucky University, ACM, 1995, pp. 415-419.	
	X	TING-JUN FAN, RONA S. MACHLIN, CHRISTOPHER P. WANG and IFAY F. CHANG, "FormPlus: A Form Authoring Toolkit," IBM T.J. Watson Research Center, IEEE, 1990, pp. 255-260.	
	Y	ANTHONY B. DAYAO, KAMRAN RAFIEYAN, PIL J. LEE, RICHARD F. GRAVEMAN, YACOV YACOBI and ERIC J. ADDEO, "SuperForms: A Security-Enhanced Smart Electronic Form Management System," Bellcore, IEEE, 1990, pp. 1079-1083.	
	Z	C. S. SANKAR, "A Method to Document Data Entry Forms," Temple University, ACM, 1984, pp. 89-91.	
	AA	LAWRENCE A. ROWE and KURT A. SHOENS, "A Form Application Development System," University of California, ACM, 1982, pp. 28-38.	
	BB	V. Y. LUM, D. M. CHOY and N. C. SHU, "Opas: An Office Procedure Automation System," IBM Systems Journal, Vol. 21, No. 3, 1982, pp. 327-350.	
	CC	D. TSICHRITZIS, "Form Management," ACM, Vol. 25, No. 7, 1982, pp. 453-478.	
	DD	"Custom Data Entry Form System for Software Applications," IBM Technical Disclosure Bulletin, April 1992, pp. 1-2.	
	EE	"Electronics Forms for the Dynamic Enterprise," JetForm FormFlow, Version 2.15.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.